



STATE OF ARKANSAS  
SECURITIES DEPARTMENT  
HERITAGE WEST BUILDING, SUITE 300  
201 EAST MARKHAM STREET  
LITTLE ROCK, AR 72201

TELEPHONE: 501.324.9260 FAX: 501.324.9268  
INTERNET: www.state.ar.us/arsec



**FMLA Form 014**

Revised February 1, 2005

**APPLICATION FOR MANAGING PRINCIPAL, BRANCH MANAGER OR  
LOAN OFFICER**

**NOTE: If applying for a Loan Officer License, attach an application fee of \$50.00. This fee is non refundable. Please answer all questions completely. Answer N/A or None if appropriate.**

1.	Check all that apply:	<input type="checkbox"/>	Managing Principal	<input type="checkbox"/>	Branch Manager	<input type="checkbox"/>	Loan Officer	
	Current Employer:							
	Employer's Arkansas License Number:							
	Full Legal Name:	Mr./Ms. (Circle one)						
	SSN:		DOB:		DLN:		State:	
	Home Address:							
	(Physical Address)							
	(No PO Box)							
	Business Address							
	(Physical Address)							
Business Phone Number:		Business Fax Number:						
Business E-mail Address:								

2.	Employment Record For Last 5 Years (If unemployed for a period, so indicate.)		
	Date	Name & Address of Employer	
	From/To	(List your most recent employer first.)	
	Position Held and Nature of Duties		

3. Please read the following questions carefully. Details to affirmative responses must be reported below. Please list date(s), court name, case number, all parties and court ruling or judgment amount for each matter reported.

- (a) Have you ever pled guilty or nolo contendere to, or been convicted of a crime punishable by one or more years imprisonment? ☐ Yes ☐ No

(b) To the best of your knowledge, are you a subject of any pending criminal investigation or proceeding? ☐ Yes ☐ No

(c) Have you been a subject of any action, order or proceeding, pending or concluded, by any state or federal agency regulating the mortgage banking, mortgage brokering, or mortgage servicing industries during the past five (5) years? ☐ Yes ☐ No

(d) Have you been a subject of any action, order, or proceeding, pending or concluded, by any state or federal agency regulating the banking industry, securities industry, insurance industry, real estate, or any other financial services industry during the past five (5) years? ☐ Yes ☐ No

(e) Have there been any civil judgments entered against you arising from complaints alleging fraud, dishonesty, misrepresentation, theft, misappropriation, bad faith, deceptive trade practices, or predatory lending practices during the past five (5) years? ☐ Yes ☐ No

(f) Have you been named as a defendant in any pending civil court proceeding in which a complaint alleges fraud, dishonesty, misrepresentation, theft, misappropriation, bad faith, deceptive trade practices, or predatory lending practices? ☐ Yes ☐ No

Instructions. This page should be used to report details of affirmative responses to questions above. Identify the question number for which additional information is being provided. Attach additional pages if necessary.

[illegible]

I will comply with the provisions of Ark. Code Ann. § 23-39-501, *et seq.*, (Fair Mortgage Lending Act). I understand that non-compliance may result in a suspension or revocation of my license. I further understand that any license issued is non-transferable.

I understand that I may be employed by only one Mortgage Banker or Broker at a time. I further understand that, if licensed, my license is terminated when I change employment and I must apply for a new license if employed by another Licensed Mortgage Banker or Broker.

Pursuant to the Fair Mortgage Lending Act, I authorize the Arkansas Securities Commissioner to investigate any sources deemed necessary to establish and monitor my financial responsibility, honesty and experience. To this end, I authorize any company or person named herein to furnish information requested by the Arkansas Securities Commissioner. I further understand that, if licensed, my license is terminated during any period that I am not employed by a Licensed Mortgage Banker or Broker, and if there is a material change in any of the information contained in this application, including address changes, I must provide the Arkansas Securities Commissioner with updated information within thirty (30) days of such change.

**I hereby swear or affirm that I have reviewed this application and the accompanying information submitted herein, and that the information contained therein is true, accurate, correct and complete to the best of my knowledge. I understand that the submission of false information to the Arkansas Securities Commissioner could result in the revocation or suspension of my license. I understand that it is unlawful pursuant to Section 23-39-516(a) of the Arkansas Fair Mortgage Lending Act for any person to make or cause to be made, in any document filed with the Arkansas Securities Commissioner, any statement that is, at the time and in light of the circumstances under which it is made, false or misleading in any material respect. Further, I understand that making or causing to be made a false or misleading statement as described above, if made willfully in a document filed with the Arkansas Securities Commissioner, is a Class B felony pursuant to Ark. Code Ann. Section 23-39-516(b), and carries a penalty of imprisonment of not less than five (5) years nor more than twenty (20) years imprisonment.**

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title

Subscribed and sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

My Commission Expires: \_\_\_\_\_

The applicant named above is authorized by the undersigned to submit this loan officer application.

\_\_\_\_\_  
Signature of Company's Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title